

**BY ORDER OF THE COMMANDER
AIR COMBAT COMMAND**

**AIR COMBAT COMMAND DIRECTORY
90-284**



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Special Management

***COMPLIANCE AND STANDARDIZATION
REQUIREMENTS LIST (C&SRL)--
FINANCIAL MANAGEMENT FUNCTIONAL
AREA (FM)***

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This directory implements Air Force Policy Directive (AFPD) 90-2, *Inspector General--The Inspection System*; Air Force Instruction (AFI) 90-201, *Inspector General Activities*; Air Combat Command Instruction (ACCI) 90-202, *Compliance and Standardization Requirements List (C&SRL) Program*; and AFI 90-201_ACC Supplement 1, Addendum J, *Unit Compliance Inspections*. It supports guidance contained in various Department of Defense (DoD) and Service guidance publications governing Financial Management (FM) roles and responsibilities. This publication is used to evaluate unit compliance with public law, executive orders, DoD and Air Force directives. The references in this directory are not all-inclusive.

This directory applies to all ACC units and members and is used in lieu of the Air Force Accounting and Finance Office checklist for evaluating ACC unit compliance with FM regulatory policy, guidance and instructions during the Unit Compliance Inspection. This directory does not apply to Air National Guard (ANG) and Air Force Reserve Command (AFRC) units and members.

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Office of Collateral Responsibility (OCR) for this directory is the ACC Inspections Division (HQ ACC/IGI).

Send comments and suggested improvements to this directory on AF Form 847, *Recommendation for Change of Publication*, through command channels, to HQ ACC/FMFO, 216 Sweeney Blvd, Langley AFB, VA 23665-2779.

Summary of Changes

This document is substantially revised and must be completely reviewed. This publication is revised as a result of an extensive HQ ACC staff review and revalidation effort. Major changes include new Critical Compliance Objectives (CCO) 2 and 5, and a significant rewrite and/or reduction of CCOs 1, 3, 5, 6, and 7 supporting compliance items. Additionally, reference information of all compliance items has been updated or reflect new and/or recently republished guidance documents governing financial management operations.

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1. General.

1.1. Compliance and Standardization Requirements Lists (C&SRL) are the primary lists used during HQ ACC/IG Unit Compliance Inspections (UCI) to access unit compliance with guidance governing each particular area of operations. Items in this C&SRL are defined by the HQ ACC and, as applicable ANG and AFRC (for associate units only), staffs and based upon existing “by-law” requirements, Executive Orders, DoD directives, AF and ACC guidance, and mission areas deemed critical by AF, ACC and/or ANG leadership in assessing and assuring unit organizational health and/or performance. The objective of the C&SRL is to identify deficiencies that preclude attainment of required capabilities.

1.2. Critical Compliance Objectives (CCO) represent the highest priority of inspection items and are fundamentally derived from the Common Core Compliance Areas (CCCA) and the mission areas defined in AFI 90-201, *Inspector General Activities*. Lower tier Core and General Compliance Items may be stand alone or subordinate to a CCO. It is the intent of the evaluation team to inspect 100% of the CCOs as a minimum during the UCI, that apply to the inspected unit. However, C&SRL items listed do not limit the scope of the inspection. Critical, core and general compliance criteria are defined as follows:

1.2.1. **Critical Compliance Objective (CCO).** A CCO is an area or item where unit failure to comply with established guidance could result in significant liabilities, loss of life or serious injury or significant mission impact. Key mission areas are:

- Airman development programs
- Ability to deploy forces
- Ability to employ forces

CCOs are shown in **BOLD AND ALL CAPS FORMAT**.

1.2.2. Core Compliance Item (CCI). A CCI is an item or area that requires special vigilance and is important to the overall performance of the unit, but are not deemed "Critical." Non-compliance would result in some negative impact on mission performance or could result in injury or possible litigations. CCIs are shown in ALL CAPS FORMAT.

1.2.3. General Compliance Item (GCI). A GCI is an item or area deemed fundamental to successful overall performance of the unit, but non-compliance would result in minimal impact on mission accomplishment or would be unlikely to result in injury or possible litigation. GCIs are shown in sentence case format.

Table 1. Financial Management Compliance Items.

ITEM NO.	ITEMS	REFERENCES
<i>Comptroller Functions and Responsibilities</i>		
CCO-1	HAS FINANCIAL MANAGEMENT (FM) ENSURED AN EFFECTIVE TRAINING PROGRAM IS IN-PLACE, OPERATING, AND DOCUMENTED?	AFI 36-2201, VOL 3, CHAP 4; CFETP 6F0XX, DEC 04, PART 1, SECT A, PARA 1 & SECT B, PARA 6; AFI 65-202, PARA 8.1
1.1	HAS THE COMMANDER (CC) APPOINTED A UNIT TRAINING MANAGER (UTM) WHO PLANS AND SCHEDULES UNIT FORMAL TRAINING?	AFI 36-2201, VOL 3, PARAS 4.3 & 5.1
1.1.1	DOES THE UTM EVALUATE TRAINING EFFECTIVENESS?	AFI 36-2201, VOL 3, PARAS 4.3 & 5.1
1.2	DOES THE QUALITY ASSURANCE MANAGER (QAM): - FACILITATE THE IDENTIFICATION OF TRAINING REQUIREMENTS? - ENSURE TRAINING IS CONDUCTED AND DOCUMENTED?	AFI 65-202, PARAS 8.2 & 8.8
1.2.1	DOES THE QAM VALIDATE THE EFFECTIVENESS OF TRAINING?	AFI 65-202, PARAS 8.2 & 8.8
1.3	IS A REVIEW OF THE UNIT TRAINING PROGRAM PERFORMED SEMIANNUALLY AND IN CONJUNCTION WITH THE UNIT SELF-INSPECTION PROGRAM?	AFI 65-202, PARA 5.3
1.3.1	IS AFI 36-2201, VOLUME 3, <i>AIR FORCE TRAINING PROGRAM ON THE JOB TRAINING ADMINISTRATION</i> , ATCH 3 USED TO CONDUCT THE SEMI-ANNUAL REVIEW?	AFI 36-2201, VOL 3, ATCH 3
1.3.2	ARE TRAINING DEFICIENCIES IDENTIFIED AND MONITORED?	AFI 65-202, PARA 4.3
1.4	HAVE ALL UNIT MEMBERS COMPLETED THE APPROPRIATE VERSION OF COMPTROLLER	SAF/FM CCFC POLICY MEMO

ITEM NO.	ITEMS	REFERENCES
	CONTINGENCY FAMILIARIZATION COURSE (CCFC) WITHIN THE 90-DAY PERIOD PRIOR TO DEPLOYMENT VULNERABILITY?	(26 SEP 08)
1.5	ARE ALL MILITARY MEMBERS CERTIFIED ON THE UNIT TYPE CODE (UTC) MASTER TASK LIST FOR THEIR ASSIGNED UTC OR ARE MAKING PROGRESS TO COMPLETE CERTIFICATION PRIOR TO THEIR DEPLOYMENT VULNERABILITY WINDOW?	AFI 36-2201, VOL 3, PARAS 1.5, 4.3.9, 6.1.2.4, & 6.4.7
1.6	Has the comptroller established program to recognize both quarterly and annual outstanding performance of individuals assigned to the organization?	AFI 65-202, para 10.1; AFI 36-2846, Atch 2
1.7	DOES THE COMPTROLLER, AS PROGRAM OPR, HAVE A VIABLE WING/ORGANIZATION MANAGERS' INTERNAL CONTROL (MIC) PROGRAM TO SUPPORT THE UNIT/CC'S ANNUAL STATEMENT OF ASSURANCE? <i>(NOTE: HQ ACC guidance package issued annually in Mar/Apr timeframe provides ACC specific implementing and reporting instructions.)</i>	AFPD 65-2, PARA 3; AFI 65-201, PARAS 1.6 & 1.8
1.7.1	Has the program OPR developed a wing/unit Management Control Plan (MCP) to include an inventory of the organization's assessable units (AUs)? <i>(NOTE: At a minimum, ACC organizations should be segmented down to the squadron level (division level for HQ ACC functions). Further segmentation is a management decision. AUs must encompass the entire organization.)</i>	AFI 65-201, paras 1.8, 2.1-2.3 & 3.6
1.7.2	Does the program OPR train functional OPRs on: - MCP goals, policies and procedures? - Internal control (IC) evaluations and documentation requirements?	AFI 65-201, paras 1.1-1.3, 1.6-1.9, 2.1-2.5, 3.3-3.7, 4.5 & 4.8
1.7.3	Does the program OPR maintain a follow-up system that: - Tracks all planned corrective actions? - Identifies responsible personnel? - Target dates to ensure corrective actions are taken on identified material weaknesses?	AFI 65-201, paras 1.8, 2.5, 3.5 & 3.7
1.7.4	Does the program OPR: - Monitor functional OPR MIC program activity? - Provide feedback? - Perform periodic quality control assessments of the MIC program activity and reporting?	AFI 65-201, paras 1.8.7 & 4.8
1.7.5	Does the functional OPR: - Manage the MIC Program within their function? - Provide the program OPR with data/input (e.g., AU	AFI 65-201, paras 1.9, 2.1-2.5, 3.3, 3.5-3.7, & 4.5

ITEM NO.	ITEMS	REFERENCES
	inventory, MCP, evaluation data, statement of assurance, etc), as required, to support the unit/CC's annual statement?	
1.8	ARE INTERNAL CONTROL EVALUATIONS PERFORMED TO DETERMINE IF CONTROL TECHNIQUES EXIST AND ARE IMPLEMENTED TO ENSURE INTERNAL CONTROL SYSTEMS ARE WORKING EFFECTIVELY?	AFI 65-201, PARAS 1.8, 1.9, 2.4 & 4.5
1.8.1	Does the assessable unit manager prepare and implement a corrective action plan when material weaknesses in internal controls are discovered?	AFI 65-201, paras 2.4, 2.5 & 4.3
1.8.2	Does the functional OPR follow-up to ensure internal control weaknesses identified in the MIC program are corrected?	AFI 65-201, paras 1.9, 2.5, 3.5 & 3.7
1.9	DOES THE COMPTROLLER: - SERVE AS THE WING/UNIT CC LIAISON AND FOLLOW-UP FOCAL POINT FOR AUDIT ACTIVITY (I.E., GENERAL ACCOUNTING OFFICE {GAO}, DoD IG, AIR FORCE AUDIT AGENCY {AFAA})? - KEEP THE CC's SECTION INFORMED OF ACTIVITY? - ENSURE MANAGEMENT OFFICIALS UNDERSTAND AND COMPLY WITH ALL REQUIREMENTS INCLUDING RELEASE OF INFORMATION?	AFPD 65-4, PARA 1.5; AFI 65-301_ACC SUP, PARA 1.2.4.2; AFI 65-401_ACC SUP, PARAS 2.8 - 2.9; AFI 65-402_ACC SUP, PARAS 1.4.3 -1.4.4; AFI 65-403_ACC SUP, PARA 1.1.2.2
1.9.1	Has the comptroller provided a current designation letter?	AFPD 65-4, para 1.5; AFI 65-301_ACC SUP, paras 1.2.4.2-1.2.4.4; AFI 65-401_ACC SUP, paras 2.8- 2.9; AFI 65-402_ACC SUP, paras 1.4.3-1.4.4
1.9.2	Does the comptroller periodically remind base/organization personnel to notify his/her office if GAO or DoD IG auditors contact them directly?	AFI 65-401_ACC SUP, para 3.6.1.1; AFI 65-402_ACC SUP, para 2.6.1.1
1.9.3	Does the comptroller ensure unit compliance with reporting requirements (visit notice and unit/CC's visit report) for GAO and DoD IG visits or significant contacts?	AFI 65-401_ACC SUP, para 3.6; AFI 65-402_ACC SUP, para 2.6
1.9.4	Is the comptroller actively involved in the AFAA audit process, including the: - Resolution of disagreements? - Preparation of management comments to draft reports?	AFI 65-301_ACC SUP, paras 1.2.4.2 & 1.2.4.4; AFI 65-403, para 2.10

ITEM NO.	ITEMS	REFERENCES
	- Progress reporting, to include validating monetary benefits?	
1.9.5	Does the comptroller ensure comments to draft reports are prepared IAW AFI 65-301, <i>Audit Reporting Procedures</i> , for the CC's signature and release to AFAA, with info copy to HQ ACC/FMFP, within 30 days of receiving the draft report?	AFI 65-301, para 1.5
1.9.5.1	Are request for extensions for 15 days from original suspense date submitted in writing, include reasons for delay, and provide a firm date when AFAA can expect management comments?	AFI 65-301, para 1.5
1.9.6	Does the comptroller monitor all open reports and recommendations and ensure timely and adequate corrective actions are taken and monetary benefits validated?	AFI 65-403, para 2.10; AFI 65-403_ACC SUP, para 2.18
1.9.7	Are progress reports prepared IAW AFI 65-403, <i>Follow-Up on Internal Air Force Audit Reports</i> , for the CC's signature and submitted to HQ ACC/FM, (info copy to AFAAO) by the 15th of the month following a recommendation's estimated completion date (ECD)?	AFI 65-403_ACC SUP, paras 2.18.1 & 2.18.2
1.9.8	Does the comptroller notify top-level management of instances or trends of noncompliance with agreed-on corrective actions or with established ECDs?	AFI 65-403_ACC SUP, para 2.8.12.4
1.10	Does the comptroller request the responsible management officials to send written notification to the appropriate Defense Accounting Office to establish accounts receivable when management agrees that amounts identified in an audit are due the Air Force?	AFI 65-403, para 2.10.6
<i>Report of Survey Management Responsibilities</i>		
1.11	HAS THE SENIOR HOST BASE/INSTALLATION CC (OR DESIGNATED SUBORDINATE) APPOINTED AN OFFICE OR INDIVIDUAL TO BE RESPONSIBLE FOR THE ADMINISTRATION OF THE REPORT OF SURVEY (ROS) PROGRAM?	AFMAN 23-220, PARA 10.2.2.5
1.11.1	Has the senior host/CC authorized delegation of his or her responsibilities, in writing, to a subordinate?	AFMAN 23-220, para 10.1.1 (A)
1.11.2	Has the ROS manager prepared internal operating procedures, checklists and related documents to assist the ROS responsible officials?	AFMAN 23-220, para 11.4.2
1.11.3	Does the ROS manager maintain AF Form 453, <i>Report of Survey Register</i> , or electronic equivalent?	AFMAN 23-220, paras 11.5 & 11.6
1.11.4	Does the ROS manager ensure an actual cost of repair, or if unavailable, an estimate obtained before financial liability is assessed?	AFMAN 23-220, para 11.4.6

ITEM NO.	ITEMS	REFERENCES
1.11.5	Does the ROS manager provide collection documents to the Financial Service Office (FSO) for assessed liabilities? (Note: If anyone in the ROS process is also the Deputy Disbursing Officer or FSO, then per Vol 5, 010505B, internal controls must be in place to prevent conflict of interest and fraud.)	AFMAN 23-220, para 11.10.1
1.11.6	Are procedures in effect to expedite ROS actions for individuals separating from the Service?	AFMAN 23-220, paras 11.8
1.11.7	Has the Staff Judge Advocate (SJA) rendered a written opinion of the case before completing a ROS that recommends assessment of financial liability?	AFMAN 23-220, para 10.2.2.12
<i>FM Pre-Deployment Training Responsibilities</i>		
1.12	DOES THE COMPTROLLER UNIT/CC HAVE DOCUMENTED SUPPORT AND CONTINGENCY PROGRAMS THAT FOCUS ON FINANCIAL MANAGEMENT FUNCTIONS PERFORMED AT EMERGENCY AND DEPLOYED LOCATIONS?	AFI 10-213; AFI 10-403
1.12.1	HAS THE COMPTROLLER DEVELOPED/MAINTAINED PLANS/PROCEDURES TO ENSURE ACCOMPLISHMENT OF THE COMPTROLLER'S WARTIME MISSION?	AFI 10-213, PARA 2.5.1
1.12.2	Has the unit/CC designated a primary and alternate Unit Deployment Manager (UDM), in writing?	AFI 10-403, para 1.6.1.12
1.13	Has each unit member been: - Assigned to a specific UTC? - Notified in writing of this assignment and signed a memorandum to that effect? - Assigned to a specific Air Expeditionary Force (AEF) block or enabler as recorded in the Military Personnel Data System (MilPDS)? - Issued an AEF ID card with the AEF block annotated?	AFI 10-401, paras 1.6.1.1 & 11.18.2.1
1.13.1	Once associated with an AEF, do individuals remain in the same AEF for the duration of their unit assignment unless waived?	AFI 10-401, para 11.18.2.2
1.14	Has the unit/CC ensured, for all personnel subject to deploy, a Personnel Readiness Folder (PRF) is on file and maintained by the UDM?	AFI 10-403, paras 1.6.1.22 & 1.6.2.9
1.14.1	Does the PRF contain a completed AF Form 4005, <i>Individual Deployment Requirements</i> ?	AFI 10-403, para 1.6.3
1.14.2	Are deployment requirements, including training, for all deployable personnel recorded in Logistics Module (LOGMOD) or other approved system?	AFI 10-403, para 1.6.3
1.14.3	Are all PRFs documented with current information for: - CCFC training requirements?	AFI 10-403, para 1.6.2.1;

ITEM NO.	ITEMS	REFERENCES
	- Ancillary training (e.g. Law of Armed Conflict {LOAC}; Trafficking in Persons Awareness; Self-Aid Buddy Care {SABC}; Level I Anti-Terrorism; Information Assurance; Small Arms; Chemical, Biological, Radiological, and Nuclear Explosives {CBRNE}, Explosive Ordnance Reconnaissance (EOR), and Combat Skills Training {CST})?	SAF/FM CCFC Memo (Sep 08)
1.15	Do all UTC-assigned unit enlisted members have the applicable items of the UTC Task List certified?	AFI 10-403, para 1.6.2; AFI 10-401, para 11.18.2; ACC/FM CCFC & UTC Policy Memo (14 Dec 06)
1.15.1	Have all task certifications been completed at least two months prior to entry into their deployment vulnerability window?	AFI 10-403, para 1.6.2; AFI 10-401, para 11.18.2; ACC/FM CCFC & UTC Policy Memo
<i>Status of Resources and Training System / Air Expeditionary Force Reporting Responsibilities</i>		
1.16	Are the unit Air Expeditionary Force (AEF) Reporting Tool (ART) monitor and alternate(s) appointed in writing by the unit/CC?	AFI 10-244, para 2.7.4.2
1.17	Are UTC assessments updated in the ART system every 30 days or within 24 hours of a status change?	AFI 10-244, para 3.8
1.18	Upon deployment notification, are tasked UTCs updated in ART and an assessment completed to ensure the UTC can meet theater specific requirements?	AFI 10-244, paras 3.6, 3.8.2 & 3.8.3
1.18.1	Do UTCs assessed as GREEN: - Meet the Mission Capability (MISCAP) Statement requirements? - Meet worldwide qualifications and requirements? - Have all required mission and skill-level training complete? - Meet 72-hour ready to deploy requirements?	AFI 10-244, paras 3.4.7 & 3.5.1
1.18.2	Are UTCs assessed as YELLOW for missing/deficient capability: - However that missing/deficient capability does not prevent the UTC from being tasked and accomplishing its mission? - Remarks and a get-well date (GWD) are entered to explain and amplify the status?	AFI 10-244, paras 3.5.2 & 3.7

ITEM NO.	ITEMS	REFERENCES
1.18.3	Are UTCs assessed as RED: - For missing/deficient capability that prevents the UTC from tasking and accomplishing its mission? - Are detailed remarks and a GWD entered to explain and amplify?	AFI 10-244, paras 3.5.3 & 3.7
1.19	Does the unit/CC review, assess and certify ART reports? (<i>Note: The unit/CC may demonstrate this approval by signing the Commander's Approval Report generated by ART.</i>)	AFI 10-244, para 2.6.2; AFI 10-244_ACC SUP, para 2.7.4.3.3
1.20	Are the unit Status of Resources and Training System (SORTS) monitor and alternate(s) appointed, in writing, by the unit/CC?	AFI 10-201, para 1.11.11.1.2
1.21	Are SORTS reports submitted every 30 days or within 24 hours of a change?	AFI 10-201, para 2.4
1.22	Does the unit/CC review SORTS reports and assign the overall C-level?	AFI 10-201, para 1.10.7
1.23	Does the comptroller develop and maintain necessary plans and procedures to ensure continued operation under conditions caused by local emergencies or natural disasters?	AFI 10-213, paras 2.5.2 & 7.4
1.24	Is the unit's deployable logistics detail (LOGDET) equipment complete and readily available for deployment?	AFI 10-403, para 1.6.1; UTC XFFAG MISCAP
1.25	Are procedures established in pre-deployment plans for the agent to obtain user IDs and passwords for both the Air Force, Army and Air Reserve Component (ARC) military pay systems from the security manager in military pay?	AFPAM 65-110, para 2.2.4.1
1.26	Has the unit/CC established procedures that: - Identify single parents, dual military couples with family members, and members with civilian spouses who have unique family situations? - Require these members to complete AF Form 357, <i>Family Care Certification</i> ?	AFI 36-2908, para 2.2
<i>Financial Management Analysis Responsibilities</i>		
CCO-2	DOES FM ANALYSIS (FMA) ENSURE LEGAL AND ADMINISTRATIVE FUNDING LIMITATIONS AGREE WITH FUNDING DOCUMENTS AND THE ACCOUNTING SYSTEM?	AFI 65-601_VOL 2, PARA 4.1.1.1
2.1	DOES FMA, IN COORDINATION WITH RESOURCE ADVISORS (RAs), REVIEW EXECUTION PLANS TO ENSURE CONSISTENCE WITH UNIT FUNDING PRIORITIES AND GOALS?	AFI 65-601,VOL 2, PARAS 2.10 & 2.15
2.2	With FM approval, does FMA promptly and accurately load targets directly into the accounting data base and balance to current funding documents and higher headquarters?	AFI 65-601, Vol 2, para 5.5

ITEM NO.	ITEMS	REFERENCES
2.3	DOES FMA VALIDATE TARGETS AND LIMITATIONS TO FUNDING DOCUMENTS AND HIGHER HEADQUARTERS (HHQ) AT LEAST MONTHLY?	AFI 65-601, VOL 2, PARA 4.1.1.2
CCO-3	HAS AN EFFECTIVE RESOURCE MANAGEMENT SYSTEM (RMS) BEEN ESTABLISHED?	AFI 65-601, VOL 2, PARA 2.10
3.1	Does FMA, in coordination with RAs and Responsibility Center Managers (RCMs), annually review requirements in existing contracts and program plans to develop a comprehensive execution plan?	AFI 65-601, Vol 2, paras 2.10 & 2.15.3
3.2	DOES FMA PROVIDE COST AND ECONOMIC ANALYSIS SUPPORT TO THE WING?	AFI 65-501, para 1.3.6 & Chap 2
3.3	DOES FMA WORK WITH THE FUNCTIONAL AREA AGREEMENT COORDINATORS (FAAC) TO: - ESTIMATE ANTICIPATED REIMBURSEMENTS? - COMPARE ANTICIPATED REIMBURSEMENTS WITH REALIZED REIMBURSEMENTS? - MONITOR THE OVERALL REIMBURSEMENT PROGRAM? - ENSURE ALL LEGITIMATE EXPENSES ARE REIMBURSED?	AFI 25-201, PARA 5.4; AFI 65-601, VOL 1, PARA 7.3.3; AFI 65-601, VOL 2, PARA 1.5.6; DODI 4000.19
3.5	Does FMA work with RAs to reconcile and validate the Open Document Listing (ODL), to include unobligated commitments and unliquidated obligations against supporting documents and ensure each meets valid criteria?	AFI 65-601, Vol 1, para 6.12.1; DFAS-DE 7010.1R, paras 18.9 & 19.5
3.5.1	Does FMA provide initial training that outlines duties and responsibilities to RCMs (within 90 days) and RAs (started within 30 days and completed within 90 days)?	AFI 65-601, Vol 2, paras 11.2.1 & 11.2.2
3.5.2	Does FMA provide recurring training, under the Resource Management System (RMS), to ensure complete coverage of personnel and necessary training?	AFI 65-601, Vol 2, paras 11.3 & 11.4
3.5.3	Does FMA ensure all RMS training is properly documented for complete coverage of personnel and necessary training?	AFI 65-601, Vol 2, para 11.4
<i>Financial Management Board/Work Group Responsibilities</i>		
3.6	Does the Financial Management Board (FMB) meet as required to approve/disapprove commendations made by the Financial Working Group (FWG)?	AFI 65-601, Vol 2, paras 2.10 & 10.3
3.6.1	Are their decisions documented in the minutes?	AFI 65-601, Vol 2, paras 2.10 & 10.3
3.7	Has a comprehensive base close-out plan been developed and approved by FWG/FMB?	AFI 65-601, Vol 2, para 2.9.1
<i>Non-Appropriated Fund Management Functions and Responsibilities</i>		
CCO-4	HAS THE FM ESTABLISHED AN EFFECTIVE OVERSIGHT PROGRAM FOR NON-APPROPRIATED	AFI 65-107, PARA 1.3

ITEM NO.	ITEMS	REFERENCES
	FUNDS (NAF) TO ENSURE INTERNAL CONTROLS ARE IN PLACE, AND REVIEWS ARE ACCOMPLISHED AND PROPERLY DOCUMENTED?	
4.1	Does the FM chair the NAF Council Finance Committee, if one has been appointed by the NAF Council?	AFI 65-107, para 1.3, & Atch 1, Sect A1.2
4.2	Does the NAF financial analyst (NAFFA) only perform NAF oversight duties?	AFI 65-107, para 1
4.3	Does the NAFFA properly prepare a financial analysis each month and forwards to the wing commander (or designee) NLT the last work day of the month that follows the end of the reporting period?	AFI 65-107, paras 1.3.1 & 2.1
4.4	Does the NAFFA perform an audit of two consecutive days' cashiers' reports annually for each NAF activity, to include those provided by the Lodging Property Management System (Lodging Touch System) for Lodging operations?	AFI 65-107, paras 1.3.2 & 2.2.1
4.5	DOES THE NAFFA REVIEW BALANCE SHEET ACCOUNTS AND RESPECTIVE SUBSIDIARIES TO VALIDATE RECONCILIATION TO THE GENERAL LEDGER?	AFI 65-107, PARAS 1.3.10 & 2.10
4.6	DOES THE NAFFA REVIEW/MONITOR ACTIVITY MANAGERS' QUARTERLY SURPRISE CASH COUNTS, TO ENSURE THE CASH COUNTS ARE ACCOMPLISHED AS REFERENCED IN AFI 34-202, <i>PROTECTING NONAPPROPRIATED FUND ASSETS</i> , AND PROTECT NON-APPROPRIATED FUND ASSETS?	AFI 65-107, PARA 2.2.2
4.7	DOES THE NAFFA CONDUCT ANNUAL SURPRISE CASH COUNTS AT ALL SUPPORTED NAF ACTIVITIES?	AFI 65-107, PARA 2.2.2
4.8	Does the NAFFA review Lodging and Morale, Welfare, and Recreation Fund written-off accounts/allowance for uncollectible bad debts?	AFI 65-107, paras 1.3.5, 2.5.2 & 2.5.3
4.9	Does the NAFFA prepare a schedule for annual impartial inventories of fixed assets, storerooms and saleable merchandise?	AFI 65-107, paras 1.3.7 & 2.7
4.10	Does the NAFFA perform an inventory analysis of all resale operations, to be included with written results from the activity's impartial inventory, if required, by impartial inventory results?	AFI 65-107, para 2.7.5
4.11	DOES THE NAFFA THOROUGHLY REVIEW: - ACCOUNT SET SUP DOCUMENTATION? - CARDHOLDERS RECORDS? - ALL APPLICABLE NAF P-CARD CONTRACTOR PROVIDED REPORTS, ELECTRONIC SYSTEM REPORTS AND SUPPORTING DOCUMENTS?	AFI 65-107, PARAS 1.3.9 & 2.9

ITEM NO.	ITEMS	REFERENCES
4.12	Does the NAFFA review NAF P-Card (Government Purchase Card) documentation, to include verification of Resource Manager (RM) issued and signed delegation of authority to make purchases with NAF using the P-Card card for each approving official and cardholder?	AFI 65-107, para 2.9.1
4.12.1	Does the NAFFA's review encompass at least 25% of all cardholders with the most purchases, but no less than two per base?	AFI 65-107, para 2.9.2
4.13	DOES THE NAFFA ANNUALLY AUDIT NAF ACCOUNTING OFFICE EMPLOYEE PAYROLL RECORDS?	AFI 65-107, PARAS 1.3.12 & 2.12
4.14	Does the NAFFA review and follow-up on all findings that result from previous reviews and audits?	AFI 65-107, para 2.8
4.14.1	Does the NAFFA attend all Services-related audit in-briefs and out-briefs to Wing, Mission Support Group, and Services CCs?	AFI 65-107, para 2.8.1
4.14.2	Does the NAFFA track corrective actions until closed to ensure compliance?	AFI 65-107, para 2.8.3
4.14.3	Does the NAFFA coordinate on all audit non-concurrences and track them to resolution?	AFI 65-107, paras 1.3.8 & 2.8.4
<i>Accounting Liaison Functions and Responsibilities</i>		
CCO-5	IS THE TRI-ANNUAL REVIEW CERTIFIED IAW REGULATORY GUIDANCE AND CERTIFICATION DOCUMENTATION MAINTAINED FOR 24 MONTHS THAT SUPPORTS THE REVIEW AND AUDIT PURPOSES?	DODFMR 7000.14-R, VOL 3, PARAS 080405.B & 080406; DFAS-DE 7200.4-G, PARA C1.1.1
5.1	Once the Tri-Annual Review is validated, does FMA/Accounting Liaison Office (ALO) ensure corrective documentation is submitted to DFAS?	DFAS-DE 7220.4-G, para C7.1.1.7.2
5.2	Are the base/DFAS files sorted and sent to the appropriate funds holders upon receipt from the field site?	DFAS-DE 7220.4-G, paras C6.2.1 & C6.3
5.2.1	Is a suspense date provided?	DFAS-DE 7220.4-G, paras C6.2.1 & C6.3
5.3	Does FMA/ALO code all lines forwarded to the Resource Advisor for validity with Base Code "W"?	DFAS-DE 7220.4-G, paras C6.2.1 & C7.5.1.4
5.4	Is Base Code "P" used when requesting for a de-obligation modification from Contracting?	DFAS-DE 7220.4-G, para C7.5.1.1
5.5	Does FMA/ALO contact organizations that did not code a line or left a "W" in the Base Code field?	DFAS-DE 7220.4-G, para C6.2.1
5.6	Does FMA/ALO enter the amount in the applicable Obligation field or De-obligation Amount field on the tri-annual review	DFAS-DE 7220.4-G, paras C6.2.2 & C6.3

ITEM NO.	ITEMS	REFERENCES
	file for lines requiring an obligation/de-obligation action?	
5.7	Upon review completion, are the base and DFAS files merged into the proper format and validated for completeness prior to the established submission date to the field site?	DFAS-DE 7220.4-G, para C2.6
5.8	Has the confirmation statement been received from the field site IAW the dates established in the annual schedule?	DFAS-DE 7220.4-G, para C4.1.11
5.9	Has the confirmation statement been sent to HQ ACC/FMF by the due date?	DODFMR 7000.14-R, Vol 3, para 080405.B
5.10	<p>ARE COMMITMENT DOCUMENTS REVIEWED PRIOR TO FUND CERTIFICATION TO DETERMINE:</p> <ul style="list-style-type: none"> - REQUEST VALIDITY? - FUND AVAILABILITY? - ACCOUNTING CLASSIFICATION DATA IS COMPLETE AND ACCURATE? 	DFAS-DE 7010.1-R, CHAP 18; DFAS INTERIM GUIDANCE (I/G) ON ACCOUNTING FOR COMMITMENTS, SECT 2.A
5.11	Are commitment documents processed promptly in the accounting system?	DFAS-DE 7010.1-R, para 18-7; DFAS I/G on Accounting for Commitments, Sect 3.A.1
5.12	Are proper follow-up and reconciliation of commitments performed to determine if they are still valid?	DFAS-DE 7220.4-G, para C.1.1.2; DFAS I/G on Accounting for Commitments, Sect 3.A.3; DFAS-DE 7010.1-R, para 18-9
5.12.1	Is an adequate record of the follow-up results maintained?	DFAS-DE 7220.4-G, para C.1.1.2; DFAS I/G on Accounting for Commitments, Sect 3.A.3; DFAS-DE 7010.1-R, para 18-9
5.13	ARE REQUESTS FOR OVERRIDE CODES APPROVED ONLY BY THE FMA/ALO CHIEF AND A CONTROL LOG MAINTAINED, BY IDENTITY, DATE, AND EXPLANATION, FOR ALL APPROVED OVERRIDES?	DFAS-DE FIELD SITES & DEPART ACCOUNTING CRITICAL PROCESSES, FLOWCHARTS, INTERNAL MGT

ITEM NO.	ITEMS	REFERENCES
		CONTROLS, RESPONSIBILITIES & PROCEDURES – PART 1, SECT 1-B.2, PARA 7; DFAS-DE 7077.2-M, PARAS 6.7 & 16.5
5.14	ARE MISCELLANEOUS OBLIGATION REIMBURSEMENT DOCUMENTS (MORDS) USED FOR RECORDING KNOWN OBLIGATIONS PENDING RECEIPT OF REQUIRED DOCUMENTS TO SUPPORT THE OBLIGATIONS?	DFAS I/G ON ACCOUNTING FOR OBLIGATIONS, SECT 2.C.3; DFAS-DE FIELD SITE PROCESSING MISCELLANEOUS OBLIGATIONS/REIMBURSEMENT DOCUMENTS GUIDE, SECT II, PARA A
5.14.1	Are MORDs approved and funds verified and posted promptly before submitting to the field site for processing?	DFAS-DE Field Site Processing Misc Obligations/ Reimburse Documents Guide, Sect III
5.15	ARE ADDRESSES PROPERLY ESTABLISHED IAW REGULATORY GUIDANCE?	DFAS-DE FIELD SITES & DEPART ACCOUNTING CRITICAL PROCESSES, FLOWCHARTS, INTERNAL MGT CONTROLS, RESPONSIBILITIES & PROCEDURES – PART 1, SECT 1-B.2, PARA 1.B; DFAS-DE 7077.2-M, SECT 12
5.16	Are the outstanding orders and other listings used to follow-up and reconcile all outstanding orders and advances?	DFAS-DE I/G Procedures for Travel Accounting Ops, Sect 7.N.3 & App A; AFAFO/FMF Policy Memo (Jul 01),

ITEM NO.	ITEMS	REFERENCES
		"Forwarding Annotated Copies of Outstanding Orders & Advances Listing (GOO) to Field Site with attached AF/DFAS-Denver MOA"
5.16.1	Is a memorandum sent to the field site (each month) certifying that listings were reviewed and actions were taken as required?	AFAFO/FMF Policy Memo (Jul 01), "Forwarding Annotated Copies of GOO to Field Site with attached AF/DFAS-Denver MOA"
5.16.2	When a member responds to outstanding order/advance notification and an adjustment is needed, is corrective action accomplished?	DFAS-DE I/G, Procedures for Travel Accounting Operations, App A, para B
5.17	In non-travel reengineered environment, is the General Accounting and Finance System (GAFS) order file produced nightly and uploaded to the travel computations system prior to start of daily processing?	DFAS-DE 7077.2-M, para 30.5.C
5.18	Is the Report of Contingency Expenditures, RCS: SAF/FM (Q) 7113 (<i>Official Representation Funds</i>) prepared properly and submitted IAW HQ ACC instruction?	AFI 65-603, para 13; AFI 65-603_ACC SUP, para 13; DFAS-DE 7010.1R, Chap 29, Sect C
5.19	Are Government Purchase Card (GPC) invoices reviewed and certified using "pay and confirm" procedures?	AFI 64-117, Atch 2, para 2.a(2)
5.19.1	Is the certification conducted within 7 days from the billing cycle?	AFI 64-117, Atch 2, para 2.a(4)
5.20	Has the approving official reviewed and approved each of their cardholder's statements of account using the electronic signature via the bank's on-line system?	AFI 64-117, para 4.3.4.1.2.2 & Atch 2, para 2.b.(1)
5.20.1	If not reconciled and approved before the next billing cycle, does the FMA/ALO take documented follow-up action?	AFI 64-117, para 4.3.4.1.2.2 & Atch 2, para 2.b.(1)
5.20.2	If not reconciled and approved within 30 days of the end of a billing cycle, are the accounts temporarily suspended (credit limit reduced to \$1) pending approval?	AFI 64-117, para 4.3.4.1.2.2
5.21	Does FMA/ALO receive Transportation's Vehicle Maintenance file from the On-line Vehicle Integrated Management System (OLVIMS) by the 10 th of the month, upload the file and notify	DFAS-DE Field Site & Depart Accounting Critical Processes,

ITEM NO.	ITEMS	REFERENCES
	DFAS?	Flowcharts, Internal Mgt Controls, Responsibilities & Procedures, Part I, Sect 1-E.5, Chap 2.A.3
5.21.1	Does FMA/ALO forward the NBQV10 listing to Vehicle Maintenance for verification and certification?	DFAS-DE Field Site & Depart Accounting Critical Processes, Flowcharts, Internal Mgt Controls, Responsibilities & Procedures, Part I, Sect 1-E.5, Chap 2.A.3
5.22	Are daily audits, selective transaction history and daily transmittal listings verified and compared to the commitment source documents to ensure all data matches?	DFAS-DE Field Site & Depart Accounting Critical Processes, Flowcharts, Internal Mgt Controls, Responsibilities & Procedures, Part I, Sect 1-M.1, para C2.13
<i>Customer Support Roles and Responsibilities</i>		
CCO-6	HAS THE FSO ENSURED SAFEGUARDS ARE ESTABLISHED TO PREVENT LOSS OF FUNDS AND FUNDS ENTRUSTED TO THE DEPUTY DISBURSING OFFICER (DDO) BEING ACCOUNTED FOR?	DODFMR 7000.14-R, VOL 5, PARAS 0303 & 0304
6.1	DOES THE DO/DDO ENSURE: - QUARTERLY CASH VERIFICATIONS ARE PERFORMED? - A WRITTEN REPORT OF THE RESULTS IS ON FILE?	DODFMR 7000.14-R, VOL 5, PARA 030201
6.2	Are cash overages and shortages posted and balanced daily to a DD Form 2667, <i>Subsidiary Accountability Record</i> ?	DoDFMR 7000.14-R, Vol 5, paras 0602 & 0604
6.3	DOES THE DDO PERFORM THE NECESSARY NOTIFICATIONS WHEN A LOSS OF FUNDS OCCURS?	DODFMR 7000.14-R, VOL 5, FIG 6-1
6.4	IS A QUARTERLY LOSS OF FUNDS AND REPORT OF OVERAGES PREPARED USING THE DD FORM 2667 AND SUBMITTED TO THE FIELD SITE?	DODFMR 7000.14-R, VOL 5, PARAS 0604 & 0606
6.5	ARE ALL FSO PERSONNEL AWARE OF ANTI-ROBBERY PROCEDURES?	DODFMR 7000.14-R, VOL 5, PARAS 030302.A2 & 030302.B; AFI 31-101,

ITEM NO.	ITEMS	REFERENCES
		PARA 19.3; LOCAL SECURITY OI
6.5.1	IS AN AF FORM 439, <i>ROBBERY CHECKLIST</i> , POSTED AT THE CASHIER CAGE AND EXIT TO THE DISBURSING AREA?	DODFMR 7000.14-R, VOL 5, PARAS 030302.A2 & 030302.B; AFI 31-101, PARA 19.3
6.6	IS THE DISBURSING SECTION MARKED “AUTHORIZED PERSONNEL ONLY” WITH LIMITED ACCESS AND ESCORTS REQUIRED FOR PERSONNEL NOT ON THE ENTRY AUTHORIZATION LIST?	DODFMR 7000.14-R, VOL 5, PARA 030302.B.4
6.7	IS A RECORD OF COMBINATION CHANGES KEPT FOR EACH VAULT, SAFE, OR OTHER STORAGE CONTAINER?	DODFMR 7000.14-R, VOL 5, PARA 030302.B.14
6.7.1	ARE COMBINATIONS CHANGED AT LEAST EVERY SIX MONTHS OR MORE OFTEN IF KEY PERSONNEL DEPART?	DODFMR 7000.14-R, VOL 5, PARA 030302.B.13
6.8	IS A PERMANENT FILE ESTABLISHED FOR ALL HOLDERS OF FUNDS INCLUDING THOSE LOCATED OUTSIDE THE FSO?	DODFMR 7000.14-R, VOL 5, PARAS 0206, 020601, 0207, 0208 & 0209
6.8.1	Does the file contain the following minimum items: - Request for appointment and/or appointment letter? - Letter of instruction (signed by the agent and the DDO)? - Copies of all enacted DD Forms 1081, <i>Statement of Agent Officer's Account</i> ?	DoDFMR 7000.14-R, Vol 5, para 020601; Local OIs
6.8.2	If an agent is terminated, is a termination letter included in the folder and maintained for a minimum of six months?	DoDFMR 7000.14-R, Vol 5, para 020601
6.9	ARE COLLECTION AND DISBURSEMENT VOUCHERS REVIEWED TO ENSURE ALL DOCUMENTATION IS COMPLETE (NUMBERED, BRIEF BLOCKED, DATED, CERTIFIED, PAYMENT AMOUNT EQUALS AUTOMATED CENTRALIZED DISBURSING SYSTEM {CDS} UPLOAD AND APPROPRIATION, AND/OR SIGNATURES ON CLAIMS)?	DODFMR 7000.14-R, VOL 5, PARAS 100201.C, 100405, 100406, 1101 & 1102; DFAS-DE FIELD SITE DEPART ACCOUNT CRITICAL PROCESSES, FLOWCHARTS, INTERNAL MGT CONTROLS, RESPONSIBILITIES

ITEM NO.	ITEMS	REFERENCES
		& PROCEDURES, PART 1, SECT 2A, INTERNAL CONTROLS A-E
6.9.1	Do travel orders accompany the claim?	DoDFMR 7000.14-R, Vol 5, para 110102 & 110211 & Vol 9, paras 080402 & 080301.K1; AFI 65-114, para 8.14
6.9.2	Is the voucher signed and dated by the traveler?	DoDFMR 7000.14-R, Vol 5, para 110102 & 110211 & Vol 9, paras 080402 & 080301.K1; AFI 65-114, para 8.14
6.10	Is the DD Form 1131, <i>Cash Collection Voucher</i> , annotated with: - Check number/deposit ticket number/cash? - Signature of the receiving official (when collection is made by other than the disbursing office cashier)? - Date and initials?	DoDFMR 7000.14-R, Vol 5, paras 100201.A & B & 100406; Heads Up Message (HUM) 2, item 8
6.10.1	Is a copy given/sent to the customer?	DoDFMR 7000.14-R, Vol 5, paras 100201.A & B & 100406.N; HUM 2, item 8
6.10.2	Is the check/deposit ticket received annotated with the collection voucher number?	DoDFMR 7000.14-R, Vol 5, paras 100201.A & B & 100410; HUM 2, item 8
6.11	IS THE CASHIER BALANCED DAILY BY COUNTING CASH, VERIFYING VOUCHERS, CASH, DEPOSIT SLIPS, AND CHECKS AGAINST CDS CASHIER DAILY SUMMARY?	DODFMR 7000.14-R, VOL 5, PARAS 030401.D & 190102.A; DFAS-DE 7077.20-M, NTTAL1
6.12	DOES THE DDO LOG CHECKS REMOVED FROM SAFEKEEPING ON A BLANK CHECK CONTROL LOG?	DODFMR 7000.14-R, VOL 5, PARAS 070108 & 070109
6.12.1	DOES THE CHECK WRITER SIGN FOR BLANK CHECK(S)?	DODFMR 7000.14-R, VOL 5, PARAS 070108 &

ITEM NO.	ITEMS	REFERENCES
		070109
6.13	ARE ALL ISSUED CHECKS, TO INCLUDE VOIDED CHECKS, INPUT INTO CDS?	DFAS-DE 7077.20-M
6.14	IS A DD FORM 2657, <i>DAILY STATEMENT OF ACCOUNTABILITY</i> , PROPERLY PREPARED, BALANCED, AND SIGNED FOR EACH BUSINESS DAY?	DODFMR 7000.14-R, VOL 5, PARA 1902
6.15	ARE ALL CHECKS AND BONDS, RECEIVED VIA THE MAIL, LOGGED ON A DD FORM 2658, <i>RETURNED AND UNDELIVERABLE CHECK/BOND RECORD</i> , BY SOMEONE OUTSIDE THE DISBURSING SECTION?	DODFMR 7000.14-R, VOL 5, PARAS 080403 & 100105.C
6.15.1	DOES THE DISBURSING SECTION: - MAINTAIN A COPY OF THE DD FORM 2658? - RECORD FINAL DISPOSITION OF CHECK OR BOND (I.E. PAYEES SIGNATURE IF PICKED UP ADDRESS IF MAILED, ETC)?	DODFMR 7000.14-R, VOL 5, PARAS 080403 & 100105.C
6.16	Have certifying officers been appointed in writing?	DoDFMR 7000.14-R, Vol 5, para 330501
6.16.1	Are copies of the appointment letters and signature cards maintained in the disbursing office?	DoDFMR 7000.14-R, Vol 5, para 330501
6.16.2	Is the appointing official for certifying officers someone other than a deputy disbursing officer or cashier?	DoDFMR 7000.14-R, Vol 5, para 330502
6.17	HAS THE UNIT/CC ESTABLISHED AN EFFECTIVE GOVERNMENT TRAVEL CARD (GTC) PROGRAM AND MANAGES THE DELINQUENCY OR ABUSE OR ASSIGNED CARDHOLDERS?	DoDFMR 7000.14-R, VOL 9; SAF/FMP AFAFO AF GTC I/G (Jul 08)
6.18	Are effective actions taken to meet or exceed the AF delinquency goals, as outlined in SAF/FMP AFAFO Air Force GTC Interim Guidelines?	SAF/FMP AFAFO AF GTC I/G Sect IV, para E
6.19	Have unit/CCs (through their agency program coordinators) established procedures to ensure all assigned GTC cardholders receive and understand their responsibilities for the use of the GTC?	DoDFMR 7000.14-R, Vol 9, para 030601; SAF/AFAFO AF GTC I/G, Sect III, para D
6.20	Are agency program coordinators (APCs) appointed and trained in the unit?	DoDFMR 7000.14-R, Vol 9, paras 030209 & 030601; SAF/AFAFO AF GTC I/G, Sect III, paras B & C
6.21	Does the unit APC effectively track arriving and departing GTC cardholders to ensure the validity of the organization hierarchy and contractor reporting information?	DoDFMR 7000.14-R, Vol 9, para 030701; SAF/AFAFO AF GTC

ITEM NO.	ITEMS	REFERENCES
		I/G, Sect II, para C.2
6.22	Are supervisors/CCs notified of all GTC cardholders in their chain of command that are delinquent 45 days or more?	DoDFMR 7000.14-R, Vol 9, para 030901; SAF/AFAFO AF GTC I/G, Sect II, para C.2
6.23	Does the unit/CC take appropriate and timely action when confronted with a delinquent GTC account or unauthorized GTC use?	DoDFMR 7000.14-R, Vol 9, para 030901
CCO-7	HAS THE FSO ESTABLISHED AN EFFECTIVE REVIEW PROCESS TO ENSURE ENTITLEMENTS ARE VERIFIED AND TRANSACTIONS AFFECTING THE PAY OF DOD MEMBERS AND EMPLOYEES ARE PROCESSED IN A TIMELY MANNER?	AFMAN 65-116, VOL 1, PARA 1.4; DODFMR 7000.14-R, VOL 8, PARA 030101
7.1	DOES THE FSO VALIDATE THE FAMILY QUARTERS ASSIGNMENT LISTING AGAINST THE HOUSING MANAGEMENT OFFICE (HMO) LISTING OF ALL MEMBERS ASSIGNED TO GOVERNMENT QUARTERS?	AFMAN 65-116, VOL 1, PARA 26.10
7.1.1	Does the FSO: - Request an extract of members they are servicing who are receiving partial rate Bachelor Airmen's Quarters (BAQ)? - Provide this list to HMO by the end of October?	AFMAN 65-116, Vol 1, para 26.11
7.2	DOES THE FSO PRODUCE A SEMI-ANNUAL LIST OF INDIVIDUALS RECEIVING FLIGHT PAY AND/OR PARACHUTE PAY?	AFMAN 65-116, VOL 1, PARA 22.5
7.2.1	IS THIS LIST SENT TO THE FLIGHT MANAGEMENT OFFICE FOR VALIDATION?	AFMAN 65-116, VOL 1, PARA 22.5
7.3	Does the FSO provide unit/CCs a Basic Allowance for Subsistence (BAS) verification listing annually?	AFMAN 65-116, Vol 1, para 25.3
7.4	Are there source documents supporting each line item input into the Defense Joint Military Pay System (DJMS)?	AFMAN 65-116, Vol 1, paras 2.4.1 & 2.4.2
7.5	Is the appropriate code annotated on the Daily Register of Rejects, document re-input, with original assigned transaction ID noted, and reason Code 2 documents suspended and followed-up on?	AFMAN 65-116, Vol 1, para 4.2
7.6	ARE ALL SOURCE DOCUMENTS, ALONG WITH A COPY OF EACH JUMPS DATA COLLECTION DOCUMENT TRANSMITTAL LIST (DTL), SUBMITTED TO DFAS-DE/DFRC BY THE 15TH OF THE MONTH FOLLOWING THE END OF THE QUARTER?	AFMAN 65-116, VOL 1, PARA 2.4.6
7.6.1	ARE COPIES OF STANDARD FORM 135s, <i>RECORDS TRANSMITTAL AND RECEIPT</i> , MAINTAINED FOR FUTURE RECORDS REQUEST?	AFMAN 65-116, VOL 1, PARA 2.4.6

ITEM NO.	ITEMS	REFERENCES
7.7	<p>Is the Joint Data Collection (JDC) Transaction Log File:</p> <ul style="list-style-type: none"> - Generated and printed for each JDC file transmitted to DFAS? - Attached to a certified DD Form 114, <i>Military Pay Order</i>, and forwarded to DFAS for retention in lieu of AF Form 988, <i>Leave Request/Authorization</i>? <p>(Note: audited by reviewing the leave web "JDC log report" found under general reporting.)</p>	AFMAN 65-116, Vol 1, para 44.9.1.2
7.8	Are periodic (NLT monthly) reviews of un-reconciled transactions in Leave Web researched to determine potential problems with unprocessed leave transactions?	AFMAN 65-116, Vol 1, paras 44.9.2 & 44.9.4.1
7.9	IS THE ELECTRONIC FUNDS TRANSFER (EFT) FILE IN APPLICATION "JPBM" REVIEWED ON A DAILY BASIS TO VERIFY ONE-TIME PAYMENTS TO BE MADE VIA EFT?	AFMAN 65-116, VOL 1, PARA 37.3.2
7.10	ARE PREPAYMENT AUDIT REQUIREMENTS PROPERLY ESTABLISHED IN RESERVE TRAVEL SYSTEM (RTS)?	DODFMR 7000.14-R, VOL 5, PARA 330602; AFI 65-114, PARAS 7.5, 7.5.1, 7.5.3 & 7.5.4.2
7.11	ARE SEPARATION/RETIREMENT SETTLEMENT VOUCHERS ROUTED THROUGH CUSTOMER SERVICE TO IDENTIFY ANY OUTSTANDING DEBTS?	JFTR U5125 & U5130; AFMAN 65-116, VOL 1, PARA 69.16.c; DFAS-DE I/G PROCEDURES FOR TRAVEL ACCOUNTING OPS, SECT 9.H.6; AFI 65-114, PARA 8.26.1
7.12	DOES THE AUDIT CLERK PRODUCE THE PREPAYMENT AUDIT LIST?	AFI 65-114, PARAS 7.5.1 & 7.5.5
7.12.1	ARE AUDIT VOUCHERS INITIALED (MANUALLY OR MECHANICALLY) TO SHOW COMPLETION?	AFI 65-114, PARA 7.6.1
<i>Customer Service</i>		
7.13	ARE PROCEDURES ESTABLISHED TO ENSURE EACH PAYMENT AND COLLECTION VOUCHER CITING "P510/530" IS GIVEN TO THE MERGED ACCOUNTABILITY AND FUND REPORTING (MAFR) AND DOCUMENT PROCESSING SECTIONS TIMELY?	AFMAN 65-116, VOL 1, PARA 76.5

ITEM NO.	ITEMS	REFERENCES
7.13.1	ARE ACTIONS TAKEN TO ENSURE VOUCHER OUT OF BALANCES BETWEEN DETAIL AND TOTAL CARDS ARE RESEARCHED AND CORRECTED?	AFMAN 65-116, VOL 1, PARA 76.5
7.14	DOES THE FSO ENSURE THE APPROPRIATION CITED AND REPORTED THROUGH MAFR AGREES WITH THE APPROPRIATION REPORTED AND PROCESSED THROUGH DJMS?	AFMAN 65-116, VOL 1, PARAS 76.8 & 76.9
7.14.1	IS RECONCILIATION OF DJMS AND MAFR ACCOMPLISHED DAILY?	AFMAN 65-116, VOL 1, PARAS 76.8 & 76.9
7.14.2	DOES THE FSO POINT OUT ANY QUESTIONABLE EXPENSES OR REPAYMENT PERIOD, TO THE UNIT/CC FOR POSSIBLE ADJUSTMENTS?	DODFMR 7000.14-R, VOL 7A, PARA 320101; AFMAN 65-116, VOL 1, PARA 35.3; AFMAN 65-116, VOL 2, PARA 6.31.5.2
7.15	Have procedures been established to ensure deploying members are briefed on all entitlements applicable to their respective TDY?	AFI 10-213, para 3.4
7.16	Does the Chief, Customer Service, review suspense files monthly to ensure members are not in "T" status for more than 30 days?	AFMAN 65-116, Vol 1, para 52.4.4
7.17	Is the FA0809D Report, " <i>Members with Uncleared NQ ("No Pay") and PX ("Pay") Entries,</i> " run after each cutoff and researched to clear discrepancies?	AFMAN 65-116, Vol 1, para 76.10
7.18	IF THE FINAL SEPARATION PAYMENT DIFFERS FROM THE AMOUNT AUTHORIZED ON THE NT LINE, IS ACTION TAKEN PER IC 14-03?	AFMAN 65-116, VOL 1, PARAS 52.14.6.3 & 52.14.13.2
7.19	Upon first notification of a pending separation, is a separation work file (SWF) established?	AFMAN 65-116, Vol 1, para 52.14 & Fig 52-1
7.20	As part of separation processing, are management case files (including Case Management System {CMS}) checked for debt information or open cases?	AFMAN 65-116, Vol 1, para 69.16
7.20.1	Have procedures been established for when an unsatisfied debt remains at separation, Customer Support notified of debt for possible offset of travel entitlement?	AFMAN 65-116, Vol 1, para 69.16.3.1
7.21	IS THE MASTER MILITARY PAY ACCOUNT (MMPA) REVIEW ACCOMPLISHED NLT 10 DAYS PRIOR TO SEPARATION TO ENSURE "NT" ENTRY HAS PROCESSED?	AFMAN 65-116, VOL 1, PARA 52.14.11

ITEM NO.	ITEMS	REFERENCES
7.21.1	IS A STO4 COMPLETED IF THE MMPA IS NOT IN A "T" STATUS?	AFMAN 65-116, VOL 1, PARA 52.14.11
7.22	Is the AF Form 1486, <i>Unit Leave Control Log</i> , maintained for all terminal leave (type P)?	AFMAN 65-116, Vol 1, para 44.6.2.1
7.22.1	Is the Daily Register of Transactions (DROT) date posted to the log when leaves are processed?	AFMAN 65-116, Vol 1, paras 44.6.2 & 44.9.6.1
7.22.2	Is the log compared to MMPA prior to making final separation payment?	AFMAN 65-116, Vol 1, paras 44.6.2 & 44.9.6.1
7.23	Are Court Martial Orders, Summary Courts Martial records and Article 15s given priority handling upon receipt?	AFMAN 65-116, Vol 1, paras 2.4.10.5, 67.4.2, 67.4.3 & 67.4.4
7.24	WHEN A MEMBER HAS "NO PAY DUE" BASED ON FINAL COMPUTATION AND A DD FORM 139, <i>PAY ADJUSTMENT AUTHORIZATION</i> , IS RECEIVED FROM A NON-APPROPRIATED FUND INSTRUMENTALITY, IS IT ANNOTATED WITH THE MEMBER'S DATE OF SEPARATION AND ADDRESS AND RETURNED WITHOUT PROCESSING? (Note: use transmittals to validate existence of subject DD Form 139's.)	AFMAN 65-116, VOL 1, PARA 71.4.4.3.3
7.25	Is the member given 30-days written notification of indebtedness (due process) and briefed on repayment options and remission/waiver/rebuttal procedures?	DoDFMR 7000.14-R, Vol 5, para 300302.B; DoDFMR 7000.14-R, Vol 7A, para 500104.A.2; AFMAN 65-116, Vol 1, paras 70-7.2.1 & 69.3 & Fig 69.1
7.26	If a completed remission, waiver, or rebuttal package is not received within 30 days of notification of debt, have procedures been established to ensure prompt collection?	AFMAN 65-116, Vol 1, paras 69.3, 69.14.5, 69.21.1, 69.22, 69.23 & 70.7.2.3
7.26.1	Does the FSO ensure the remission package is sent to the Air Force Financial Services Center (AFFSC) (original plus one copy) within 30 days after receipt?	AFMAN 65-116, Vol 1, paras 73.3.6 & 73.3.7
7.26.2	Does the FSO maintain completed copy in member's management case file?	AFMAN 65-116, Vol 1, paras 2-4.10, 69.10 & 69.21
7.27	Does the FSO produce the Open/Suspended Questionable Indebtedness List each March and September?	AFMAN 65-116, Vol 1, para 69.19
7.27.1	Are actions annotated by Customer Service with a copy sent to	AFMAN 65-116,

ITEM NO.	ITEMS	REFERENCES
	DFAS-DE?	Vol 1, para 69.19
7.28	IF THE FORCE SUPPORT SQUADRON (FSS) IS UNABLE TO PROCESS REQUIRED ACCESSION TRANSACTION WITHIN 14 WORKDAYS OF MEMBER'S ARRIVAL, DOES THE FSO CONTACT THE MILITARY PERSONNEL FLIGHT AND ENSURE A CMS CASE IS SET-UP?	AFMAN 65-116, VOL 1, PARA 39.2.1
7.29	Are "SG03" transactions submitted to DJMS within 5-duty days after FSO receipt of member's travel voucher even though there may be a problem with settling the voucher?	AFMAN 65-116, Vol 1, para 41.4.1
7.30	Are "SH03", " <i>Departure Transactions</i> ," inputted at least 15 days prior to a Permanent Change of Station (PCS) departure?	AFMAN 65-116, Vol 1, para 41.6.10
7.31	Prior to paying a withholding tax allowance (WTA), do civilian employees: - Sign an agreement to repay any excess WTA paid in one year? - Submit proper documentation for Relocation Income Tax Allowance (RITA) within 120 days after the close of year one?	JTR, Chap 16; Federal Travel Reg 302-17.7.(E)(2), Vol 9, Chap 6; AFI 65-114, para 10.23.2
7.32	IS A FILE ESTABLISHED ON EMPLOYEES ELIGIBLE FOR RITA BECAUSE OF A PCS MOVE?	AFI 65-114, PARAS 10.23.6.1 & 10.23.6.2
7.32.1	ARE EMPLOYEES NOTIFIED OF THE RITA ENTITLEMENT?	AFI 65-114, PARAS 10.23.6.1 & 10.23.6.2
7.32.2	IS SOME FORM OF DOCUMENTATION PRESENT IN EACH FILE TO TRACK WHAT ACTIONS HAVE TAKEN PLACE WITH REGARDS TO SETTLEMENT OF PCS RELATED ENTITLEMENTS?	AFI 65-114, PARA 10.23.6.3
7.33	Is a claim for Dislocation Allowance (DLA) for a member without dependents (E-4 and below) supported with a statement from the unit/CC or his designee (normally the base housing office) that the member was not assigned to permanent government quarters or temporary government quarters for more than 60 days?	AFI 65-114, para 8.29.1
7.34	IS A PRINTOUT FROM THE CENTRAL TRAVEL HISTORY RECORD (CTHR): - REVIEWED FOR TRAVEL ADVANCE INFORMATION? - ATTACHED TO THE RETAINED COPY OF THE TRAVEL VOUCHER FOR ALL PCS SETTLEMENTS?	DFAS-DEM 7077.2M, PARA 30.5.d; AFI 65-114, PARA 8.22.2.3.1
7.35	If manual corrections are made after a document has been approved or certified, are they made in a way that does not obliterate the original entries?	DoDFMR 7000.14-R, Vol 8, para 010406.A.1.b

ITEM NO.	ITEMS	REFERENCES
7.35.1	Are corrections initialed and dated by the person making them and approved by a designated authorizing official?	DoDFMR 7000.14-R, Vol 8, para 010406.A.1.b
<i>Defense Travel System (DTS) Travel Documentation Requirements</i>		
7.36	Does the comptroller ensure their Accountable Officials appointments: - Are documented on DD Form 577, <i>Appointment/Termination Record – Authorization Signature</i> ? - Contain proper language provided by HQ ACC/FMF? - Are maintained on file within Comptroller organization?	DoDFMR 7000.14-R, Vol 9, para 020401 – A(5)
7.37	Does the base Lead/Finance Defense Travel Administrator (LDTA/FDTA) maintain, on file and in comptroller organization, copies of the appointment letters for all Authorizing/Certifying Officials?	DoDFMR 7000.14-R, Vol 9, para 020401-B(6)
7.38	Does the LDTA/FDTA have a letter signed by the installation or activity CC to appropriate disbursing office(s) stating that all Authorizing Official acting as Certifying Officials for travel claims have been appointed and delegated in writing IAW DoD FMR 7000.14-R Volume 5, <i>Disbursing Policy and Procedures</i> , para 330501?	DoDFMR 7000.14-R, Vol 9, para 020401-B(6)
7.39	Are the Comptroller's DTS Accountable Official's appointment revoked in writing when they no longer holding the position? (Note: Revocation of appointment shall be achieved for 3 years and 6 months.)	DoDFMR 7000.14-R, Vol 9, para 020401-A(5)
7.40	Does the LDTA/FDTA ensures access permission levels and routing schemes within DTS provide for appropriate separation of duties?	DoDFMR 7000.14-R, Vol 9, para 020401-B(7)
7.41	Does the Traveler and Approving Official (AO) ensure mandatory receipts are electronically attached prior to approving the voucher? (Comptroller Organization Only)	DoDFMR 7000.14-R, Vol 9, paras 020401-D(4) & 020402-A
7.42	Does the LDTA/FDTA resolve DTS rejects within one business day or open a help desk ticket with the Travel Assistance Center (TAC) if they are unable to resolve locally?	DFAS-DE 7040.1 M Sec F, para 5; AFMAN 65-116, Vol 1, para 4.2
7.43	Does the Debt Management Monitor (DMM) ensure all DTS debts are stamped "Due Process Served" NLT one business day following receipt of the debt Email notification?	DoDFMR 7000.14-R, Vol 7A, Chap 50 (Military); DoDFMR 7000.14-R, Vol 8, (civilian); DoDFMR 7000.14-R, Vol 9, para 020401-B(8)
7.43.1	Does the DMM start collection action if traveler does not repay or provide waiver/remission documentation within 30 days?	DoDFMR 7000.14-R, Vol 7A, Chap 50

ITEM NO.	ITEMS	REFERENCES
		(Military); DoDFMR 7000.14-R, Vol 8, (civilian); DoDFMR 7000.14-R, Vol 9, para 020401-B(8)
7.44	Does the LDTA/FDTA run MIS reports at lease weekly and forward to entitlement and leave section for processing? (Note: <i>The MIS report itself may serve as the source document for the transaction(s) with the exception of FSA. The DD Form 1561, Statement of Substantiate Payment for Family Separation Allowance, is still required. Reports will be maintained for 1 year past date pulled.</i>)	DoDFMR 7000.14-R, Vol 7A, AFMAN 65-116, Vol 1, Chaps 11, 13, 27, 44 & 56
7.45	Have procedures been established for supervisors to ensure individuals recording and approving time and attendance have been properly trained?	DoDFMR 7000.14-R, Vol 8, para 020102.A.1
7.46	Is the P6605R02, "Missing Time/Created Leave Report," accomplished every Friday/Monday before payday?	DCPS-UM, Sec E, Chap 2, para 1
7.46.1	Is the listing cleared at the end of each pay period?	DCPS-UM, Sec F, Chap 3, para 1
7.47	After first payroll pass, is an "Invalid Transaction Report" query accomplished and problems identified?	DCPS-UM, Sec E, Chap 2, para 3
7.48	HAVE PROCEDURES BEEN ESTABLISHED TO ENSURE THE JURY LETTER OF ATTENDANCE AND A CERTIFIED COPY OF MILITARY ORDERS, UPON COMPLETION OF TOURS OF DUTY, ARE PROVIDED TO THE CONTROL SUMMARY RECORD (CSR)?	DODFMR 7000.14-R, VOL 8, PARAS 0517 & 0518
7.48.1	UPON RECEIPT OF DOCUMENTATION AND COLLECTION OF JURY FEES, DOES THE CSR CLEAR OUTSTANDING LEAVE FROM THE DEFENSE CIVILIAN PAY SYSTEM (DCPS) SUSPENSE FILE BY USING THE LEAVE CERTIFICATION SCREEN?	DODFMR 7000.14-R, VOL 8, PARA 0517
<i>Automated Systems</i>		
7.49	DOES THE SYSTEM ADMINISTRATOR (SA) MAINTAIN ACCESS CONTROL TO NETWORKS AND ADD, REMOVE, AND MODIFY USER PROFILES?	AFI 65-202, PARA 7.2.4
<i>Quality Assurance Roles and Responsibilities</i>		
CCO-8	DOES THE TERMINAL AREA SECURITY OFFICER (TASO) AND/OR ALTERNATE ENSURE AN ADEQUATE SEPARATION OF DUTIES BY ENSURING NO SINGLE USER ID HAS ACCESS TO DUAL SYSTEMS?	AFMAN 65-116, VOL 1, PARA 3-33; COMPTROLLER ACCESS GUIDE

ITEM NO.	ITEMS	REFERENCES
8.1	ARE USER'S PRIVILEGES LIMITED TO: - FUNCTIONS OF ASSIGNED DUTIES? - ONE ACCOUNT PER PERSON? - OBSOLETE ACCOUNTS DELETED WITHIN 30 DAYS? - PASSWORDS CHANGED AT LEAST EVERY SIX MONTHS? - NO GENERIC CUSTOMER SERVICE ACCOUNTS? - PROVIDE THE COMPTROLLER WITH A WRITTEN REPORT AT THE COMPLETION OF THE REVIEW?	AFI 65-202, PARA 7.2.4; COMPTROLLER ACCESS GUIDE
8.2	Are repeated lock-outs thoroughly researched and actions taken to ensure no USERID/passwords are shared?	AFMAN 65-116, Vol 1, para 3.40.1
8.3	ARE COMPLIANCE REVIEWS SCHEDULED AND CONDUCTED IAW THE QUALITY ASSURANCE (QA) GUIDANCE?	AFI 65-202, PARA 4.5
8.4	WITHIN ONE MONTH AFTER THE TRI-ANNUAL REVIEW IS COMPLETED, DOES QAM RANDOMLY SELECT 2.5% OR 30 LINES FROM THE REVIEW AND FOLLOW-UP WITH THE RESOURCE ADVISORS OR FUNDS HOLDERS TO ENSURE THE RESPONSES PROVIDED ARE ADEQUATELY SUPPORTED?	DFAS-DE 7220.4-G, PARA C1.1.2; SAF/FMP AFAFO POLICY MEMO (25 JAN 08)
8.5	DOES QAM VALIDATE THAT FMA IS REVIEWING THE OPEN DOCUMENT LISTING WITH RESOURCE ADVISORS QUARTERLY TO CONFIRM VALIDITY AND CANCEL, ADJUST, MOVE UNLIQUIDATED OBLIGATIONS TO ACCRUED EXPENDITURES STAGE, OR RETAIN IN PRESENT STATUS AS NECESSARY?	DFAS-DE 7010.1R, PARA 19-5; SAF/FMP AFAFO POLICY MEMO
8.6	Does the QAM maintain the QAM Handbook, to include copies of completed reviews, performance indicators, Discrepancy Tracking Reports, annual QA plan, etc? <i>(Note: For space consideration, items may be cross-referenced and stored elsewhere or electronically.)</i>	AFI 65-202, para 4.11
8.7	WHEN A DISCREPANCY IS DISCOVERED, DOES THE APPLICABLE SECTION CHIEF COORDINATE WITH THE QAM TO PREPARE THE DISCREPANCY TRACKING FORM, TO INCLUDE PROPOSED CORRECTIVE ACTIONS AND ECD?	AFI 65-202, PARA 4.2
8.8	DOES THE QAM VALIDATE AT LEAST TEN PERCENT OF SELF-INSPECTION PROGRAM RESPONSES (A HIGHER PERCENTAGE IF INADEQUATE RESPONSES WARRANT)?	AFI 65-202, PARA 5.6
8.9	At the monthly QA meeting, is the <i>Discrepancy Tracking Report</i> reviewed and discussed to ensure open items are completed?	AFI 65-202, paras 4.9 & 4.9.1.4
8.9.1	Are below standard performance indicators and corrective	AFI 65-202,

ITEM NO.	ITEMS	REFERENCES
	action addressed?	paras 4.9 & 4.9.1.4
8.9.2	Are minutes of the QA meeting: - Written and published within five business days of the meeting? - Distributed to the FM?	AFI 65-202, para 4.10; SAF/FMP AFAFO Policy Memo
8.10	DOES THE QAM VERIFY MANUAL EFT CHANGES SHOWN ON THE BANK ACCOUNT HISTORY REPORT IN RTS ARE SUPPORTED BY A SF 1199A, <i>DIRECT DEPOSIT SIGN-UP FORM</i> , OR OTHER APPROPRIATE DOCUMENT?	AFI 65 202, PARA 7.3
8.11	DOES THE QAM RANDOMLY SELECT AND REVIEW 30 PAID TRAVEL VOUCHERS, FROM THE PAID VOUCHER FILES, ON A QUARTERLY BASIS?	AFI 65-202, PARA 7.4.2; SAF/FMP AFAFO POLICY MEMO
8.12	DOES THE QAM VERIFY THAT THE FOLLOWING INFORMATION ON THE VOUCHER COPY MATCH THE TRAVEL ORDER MAINTAINED ON FILE: - NAME? - SSN? - TRAVEL ORDER NUMBER? - ACCOUNTING CLASSIFICATION?	AFI 65-202, PARA 7.4.2
8.12.1	IF THE VOUCHER IS FOR A PCS, DOES THE QAM VERIFY NAME, SSN, STATUS, AND PROPER LOCATION IN THE MILITARY PAY SYSTEM?	AFI 65-202, PARA 7.4.2
8.12.2	DOES THE QAM ENSURE ALL TRAVEL VOUCHERS IDENTIFIED FROM THE RANDOM GENERATOR FILE ARE ACCOUNTED FOR?	AFI 65-202, PARA 7.4.2
8.13	Does the QAM review and verify supporting documentation and approving official signature for: - 100 pay-affecting documents from outside sources? - 100 pay-affecting documents generated locally? (<i>Note: Leave Web transactions, although without documentation, are pay affecting and should be periodically included in this review.</i>)	AFI 65-202, para 7.4.1
8.13.1	Does QAM review a random selection of DJMS Suspense and Management Notices to ensure proper actions are accomplished? (<i>Note: The review will include a random check against applicable MMPAs to ensure actions were accomplished.</i>)	AFI 65-202, para 7.4.1; SAF/FMP AFAFO Policy Memo
8.14	Does the QAM conduct a quarterly review to confirm the DDO prepares, signs, and maintains all DD Form 1081s documenting agent advances and returns to include change of DDOs?	SAF/FM Management Comments to AFAA Audit 00054005, Controls Over Cash (Aug 00);

ITEM NO.	ITEMS	REFERENCES
		DoDFMR, Vol 5, para 030401D; SAF/FMP AFAFO Policy Memo
8.15	DOES THE QAM WORK WITH THE FSO TO SEMI-ANNUALLY REVIEW SYSTEM ACCESS FOR ALL COMPTROLLER PERSONNEL AND ENSURE THOSE WITH MULTIPLE ACCESS AUTHORITY ARE PROPERLY DOCUMENTED, JUSTIFIED, APPROVED, AND USER ACCOUNTS FOR DEPARTING (REASSIGNMENT, SEPARATION, OR RETIREMENT) PERSONNEL ARE PURGED?	AFI 65-202, PARA 7.2.4
<i>Financial Services Officer (FSO) Functions and Responsibilities</i>		
CCO-9	DOES THE FSO, DEPUTY, OR A RESPONSIBLE SUPERVISOR, PERFORM A SEMIANNUAL PAY RECORD ACCESSIBILITY (PRA) AUDIT OF PAY RECORDS OF ALL PERSONNEL WHO ARE ASSIGNED TO FM?	AFMAN 65-116, VOL 1, PARA 1.2.1; AFI 65-202, PARAS 7.2.1, 7.2.2 & 7.2.3
9.1	Are supporting documents examined when PRA audits reveals a \$100 net change of combined mid-month, end-of-month and carried forward amounts for current month compared to prior month and determine that transactions are correctly supported and processed?	AFMAN 65-116, Vol 1, para 1.2.1.4.1
9.2	Are supporting documents examined when PRA audits reveals a monthly leave increase of over 2.5 days?	AFMAN 65-116, Vol 1, para 1.2.1.4.1
9.2.1	Are supporting documents examined when PRA audits reveals a leave or debt cancellation?	AFMAN 65-116, Vol 1, para 1.2.1.4.1
9.3	DOES THE FSO, OR OTHER RESPONSIBLE SUPERVISOR (DESIGNATED IN WRITING), MAINTAIN AF FORM 2070, <i>JUMPS PAY ACCESSIBILITY ROSTER</i> , FOR ALL FM PERSONNEL?	AFMAN 65-116, VOL 1, PARA 1.2.1.2; AFI 65-202, PARA 7.2
9.4	IS THE PRA ROSTER REMADE AND AUDITS PERFORMED IN MAY AND NOVEMBER OF EACH YEAR IN ORIGINAL AND ONE COPY?	AFMAN 65-116, VOL 1, PARA 1.2.1.2
9.5	ARE SEMIANNUAL INQUIRIES TO THE CTHR MADE AVAILABLE TO THE FSO FOR ALL PERSONNEL ASSIGNED TO FM (SAME AS THE MILITARY PAY PRA AUDIT LIST AND INCLUDES DEPENDENTS AND RELATIVES)?	AFI 65-202, PARA 7.2.3

ITEM NO.	ITEMS	REFERENCES
9.5.1	DOES THE FSO REVIEW THE INQUIRY FOR ANY PAYMENTS MADE SINCE THE LAST REVIEW?	AFI 65-202, PARA 7.2.3
9.5.2	DOES THE FSO COMPARE EACH RETAINED FILE COPY OF THE PAYMENT VOUCHER TO THE TRAVEL ORDER(S) TO ENSURE THE PAYMENT IS LEGITIMATE?	AFI 65-202, PARA 7.2.3
9.6	Does the FSO ensure the Base Mobility Plan includes a finance station on the deployment processing line?	AFI 10-213, para 3.4.1
9.7	Have procedures been established to allow expeditious processing of deployed personnel in support of emergency and alert requirements?	AFI 10-213, paras 3.4.1, 3.4.1.1 & 3.4.1.5

2. Adopted Forms.

AF Form 357, *Family Care Certification*

AF Form 439, *Robbery Checklist*

AF Form 453, *Report of Survey Roster*

AF Form 847, *Recommendation for Change of Publication*

AF Form 988, *Leave Authorization/Request*

AF Form 1486, *Unit Leave Control Log*

AF Form 2070, *JUMPS Pay Accessibility Roster*

AF Form 4005, *Individual Deployment Requirements*

DD Form 114, *Military Pay Order*

DD Form 139, *Pay Adjustment Authorization*

DD Form 577, *Appointment / Termination Record – Authorization Signature*

DD Form 1081, *Statement of Agent Officer's Account*

DD Form 1131, *Cash Collection Voucher*

DD Form 1561, *Statement of Substantiate Payment for Family Separation Allowance*

DD Form 2657, *Daily Statement of Accountability*

DD Form 2658, *Returned and Undeliverable Check/Bond Record*

DD Form 2667, *Subsidiary Accountability Record*

SF 135, *Records Transmittal and Receipt*

SF 1199A, *Direct Deposit Sign-Up Form*

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Director, Financial Management

ATTACHMENT 1

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SAF/FM Policy Letter, “*Internal Controls in the General Accounting and Finance System*,” (18 Dec 02)

SAF/FM Policy Memo, “*Comptroller Contingency Familiarization Course (CCFC) Policy Memo*,” (26 Sep 08)

SAF/FMP Policy Memo, “*Update of the Post-Audit Review of Travel Vouchers*,” (25 Jan 08)

SAF/FMP Policy Memo, “*Update Quality Assurance meeting and Minutes Requirements*,” (25 Jan 08)

Records Disposition Schedule (RDS)*

*Also available via the AF Portal (<https://www.my.af.mil/gcss-af/afp40/USAF/ep/home.do>)

Abbreviations and Acronyms

ACC— Air Combat Command

ACC/FM— Air Combat Command, Financial Management Directorate

ACC/FMFO— HQ ACC/FM, Finance Operations Division

ACC/IG— Air Combat Command, Inspector General

ACC/IGI— HQ ACC/IG, Inspections Division

ACCDIR— Air Combat Command Directory

ACCI— Air Combat Command Instruction

AEF— Air Expeditionary Force

AF— Air Force

AFAA— Air Force Audit Agency

AFFSC— Air Force Financial Services Center

AFI— Air Force Instruction

AFMAN— Air Force Manual

AFPD— Air Force Policy Document

AFRC— Air Force Reserve Command

ALO— Accounting Liaison Office/Officer

ANG— Air National Guard
AO— Approving Official
APC— Agency Program Coordinator
ARC— Air Reserve Component
ART— AEF Reporting Tool
AU— Assessable Unit
BAQ— Bachelors Airman Quarters
BAS— Basic Allowance for Subsistence
C&SRL— Compliance and Standardization Requirements List
CC— Commander
CAG— Comptroller Access Guide
CBRNE— Chemical, Biological, Radiological, and Nuclear Explosives
CCCA— Common Core Compliance Area
CCFC— Comptroller Contingency Familiarization Course
CCI— Core Compliance Item
CCO— Critical Compliance Objective
CDS— Centralized Disbursing System
CFETP— Career Field Education and Training Plan
CMS— Case Management System
CSR— Control Summary Record
CST— Combat Skills Training
CTHR— Central Travel History Record
DCPS—UM - Defense Civilian Pay System-User Manual
DFAS— Defense Financial Accounting System
DD— Department of Defense
DDO— Deputy Disbursing Officer
DJMS— Defense Joint Military Pay System
DLA— Dislocation Allowance
DMM— Debt Management Monitor
DO— Disbursing Officer
DoD— Department of Defense
DoDFMR— Department of Defense Financial Management Regulation

DoDI— Department of Defense Instruction
DoDIG— Department of Defense Inspector General
DROT— Daily Register of Transaction
DTL— JUMPS Data Collection Document Transmittal List
DTS— Defense Travel System
ECD— Estimated Completion Date
EFT— Electronic Fund Transfer
EOR— Explosive Ordnance Reconnaissance
FAAC— Functional Area Agreement Coordinators
FDTA— Finance Defense Travel Administrator
FM— Finance Management
FMA— Financial Management Analysis
FMB— Financial Management Board
FMFL— Accounting Liaison Office
FSO— Financial Services Office/Officer
FSS— Force Support Squadron
FWG— Financial Working Group
GAFS— General Accounting and Finance System
GCI— General Compliance Item
GAO— Government Audit Agency
GOO— NHGGOO (Outstanding Orders/Advances List)
GPC— Government Purchase Card
GTC— Government Travel Card
GWD— Get Well Date
HHQ— Higher Headquarters
HMO— Housing Management Office
HQ— Headquarters
IC— Internal Control
I/G— Interim Guidance
IAW— In Accordance With
ID— Identification
JDC— Joint Data Collection

LDTA— Lead Defense Travel Administrator
LOAC— Law of Armed Conflict
LOGDET— Logistics Detail
LOGMOD— Logistics Module
MAFR— Merged Accountability and Fund Report
MAJCOM— Major Command
MCP— Management Control Program
MIC— Manager Internal Control
MILPDS— Military Personnel Data System
MISCAP— Mission Capabilities
MMPA— Master Military Pay Account
MORDS— Miscellaneous Obligation Reimbursement Documents
NAF— Non-Appropriated Fund
NAFFA— Non-Appropriated Fund Financial Analyst
NLT— No Later Than
NQ— NQ Pay entry
OCR— Office of Collateral Responsibility
ODL— Open Document List
OI— Operating Instruction
OLVIMS— On-Line Vehicle Integrated Management System
OPR— Office of Primary Responsibility
PCS— Permanent Change of Station
PRA— Pay Record Accessibility
PRF— Personnel Readiness Folder
PX— PX Pay entry
QA— Quality Assurance
QAM— Quality Assurance Manager
RA— Resource Advisor
RCM— Responsibility Center Manager
RDS— Records Disposition Schedule
RITA— Relocation Income Tax Allowance
RM— Resource Manager

RMFC— Resource Management Flight Chief
RMS— Resource Management System
ROS— Report of Survey
RTS— Reserve Travel System
SABC— Self-Aid Buddy Care
SAF— Secretary of the Air Force
SJA— Staff Judge Advocate
SORTS— Status of Resources and Training System
SSN— Social Security Number
SUP— Supplement
SWF— Separation Work File
TAC— Travel Assistance Center
TASO— Terminal Area Security Office
TDY— Temporary Duty
UCI— Unit Compliance Inspection
UDM— Unit Deployment Manager
UTC— Unit Type Code
UTM— Unit Training Manager
WTA— Withholding Tax Allowance

Terms

Compliance and Standardization Requirements List (C&SRL)—A comprehensive list of items drawn from numerous directives that help determine unit compliance with public law, executive orders, Department of Defense, and Air Force directives.

Core Compliance Item (CCI).—An item or area that requires special vigilance and is important to the overall performance of the unit, but are not deemed "Critical." Non-compliance would result in some negative impact on mission performance or could result in injury or possible litigations.

Critical Compliance Objective (CCO).—An area or item where unit failure to comply with established guidance could result in significant liabilities, loss of life or serious injury or significant mission impact. Key mission areas are:

- Airman development programs
- Ability to deploy forces
- Ability to employ forces

General Compliance Item (GCI).—An item or area deemed fundamental to successful overall performance of the unit, but non-compliance would result in minimal impact on mission accomplishment or would be unlikely to result in injury or possible litigation.